

CDC DATASHEET (FINANCIAL INSTITUTION)

Institution: Examiner:
 City, State: Sup. Code:
 Charter #:

Please indicate below which of the required 'checks' on the institution you are performing:

Description	Date/time	Method of contact
11/4/99 TEST ==> Final 1999 'Health Check' (12/20/1999 - 12/30/1999)	<input type="text"/>	<input type="text"/>
'Lights on' check (1/1/2000 for most banks)	<input type="text"/>	<input type="text"/>
After first full processing cycle in 2000 (1/4/2000 for most banks)	<input type="text"/>	<input type="text"/>
Other contact (whenever appropriate)	<input type="text"/>	<input type="text"/>
Other contact (whenever appropriate)	<input type="text"/>	<input type="text"/>
Other contact (whenever appropriate)	<input type="text"/>	<input type="text"/>

During the 'Final 1999 Health Check' please obtain the following information from the institution:

Contact name and title:
 Work phone number:
 Home phone number:
 Cell phone number:* *if available

Please indicate the extent of the institution's operations on the following dates:

12/31/1999:
 1/1/2000:
 1/2/2000:
 1/3/2000:

1. Please assess the overall status of the institution's operating performance:

- ☐ **Code Green:** operating normally, though minor problems may exist; the institution's management is adequately addressing any problems
- ☐ **Code Yellow:** operating problems or liquidity-related problems exist which have required implementation of the Y2K contingency plan, which has been effective
- ☐ **Code Red:** the institution is experiencing significant Y2K operating or liquidity-related problems, which are not being effectively addressed by management and threaten the operational viability of the institution (for Large Bank companies, please call your Large Bank Deputy Comptroller; for all other financial institutions, please call Ron Schneck at 202/874-4450)
- ☐ The institution has not yet determined its status

Comment. Please briefly explain the recommended supervisory course of action for any institution not operating normally.

2. Has the institution experienced a significant operating problem with any of its mission critical systems or applications?

- ☐ Yes (**complete all of question 2**)
- ☐ No (**go to question 3**)
- ☐ Not yet determined (**complete just the question 2 comment**)

a. Please indicate the scope of the problem:

- ☐ Significant disruptions to one or more mission critical systems
☐ Partial or intermittent disruptions in one or more mission critical systems

b. Please indicate which systems are affected (check all that apply):

System description	Processing environment	Institution's est. time to fix
<input type="checkbox"/> Check processing	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Deposits	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> ATM	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Payment systems (Fedwire, CHIPS, NYCHA, etc.)	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Loans (comm'l/consumer/RE)	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Credit card processing	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Trust	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Operating systems	<input type="text"/>	<input type="text"/>
<input type="checkbox"/> Other systems	<input type="text"/>	<input type="text"/>

If the operating problem(s) are due to servicers or vendors, please provide company name, location (city, state), telephone number, and product name for the 3 most significant problem companies

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c. Is the operating problem:

- ☐ Organizational wide ☐ Regional ☐ Isolated (head office or branch)

d. Is the business resumption contingency plan effectively mitigating operating risks?

- ☐ Yes ☐ No ☐ Uncertain ☐ N/A - BRCP not activated

e. Is the institution continuing to open to the public as normal?

- ☐ Yes ☐ No

f. Does the institution offer any correspondent banking services that are affected by the operating problem?

- ☐ Yes ☐ No

Comment. If the answer to question #2 is **Yes**, please briefly explain any operating problem noted above. If the answer to question #2 is not yet determined, summarize when the institution will complete its initial determination that systems are working as expected.

3. Has the institution experienced an operating failure with any of its infrastructure-related systems?

- ☐ Yes (**complete all of question 3**) ☐ No (**go to question 4**)

a. Please indicate where the problems are occurring (check all that apply):

Infrastructure type	Institution's est. time to fix
<input type="checkbox"/> Electrical systems	<input type="text"/>
<input type="checkbox"/> Telecommunications systems	<input type="text"/>
<input type="checkbox"/> Water	<input type="text"/>
<input type="checkbox"/> Building operations (elevators, security systems, etc.)	<input type="text"/>

If the operating problem(s) are due to servicers or vendors, please provide company name, location (city, state) and telephone number for the 3 most significant problem companies

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- b. Is the infrastructure-related problem:
☐ Organizational wide ☐ Regional ☐ Isolated (head office or branch)
- c. Is the business resumption contingency plan effectively mitigating the infrastructure risks?
☐ Yes ☐ No ☐ Uncertain ☐ N/A - BRCP not activated
- d. Has the institution closed any offices as a result of the infrastructure-related problems?
☐ Yes (**complete questions 3e and 3f**) ☐ No (**go to question 3g**)
- e. Has the institution opened or does it plan to open any temporary branches?
☐ Yes ☐ No
- f. How many temporary branches have been opened or are planned to open?
☐ 1 - 2 ☐ 3 - 7 ☐ 7+ ☐ Uncertain
- g. Does the institution offer any correspondent banking services that are affected by the operating problem?
☐ Yes ☐ No

Comment. If the answer to question #3 is **Yes**, briefly explain any infrastructure-related problems noted above and their effect on the institution's ability to conduct normal business. Also include addresses and property descriptions (e.g. 'grocery store') of any temporary branches the institution has opened or plans to open.

- 4. Is the institution experiencing adverse customer reaction, including significant requests for cash withdrawals or draws on unfunded credit lines?**
☐ Yes (**complete all of question 4**) ☐ No (**go to question 5**)
- a. Customer reactions (real or perceived) are due to (check all that apply):
☐ Bank operating problems ☐ Infrastructure-related problems
☐ Fallout from other institutions' problems ☐ Reaction to media
☐ Unknown ☐ Other
- b. Liquidity expectations:
☐ Liquidity demands are within the institution's expectations
☐ Liquidity demands exceed the institution's expectations and liquidity risk is expected to rise, but remain manageable
☐ Liquidity demands exceed the institution's expectations and liquidity risk is not being effectively managed
☐ Uncertain
- c. Has the institution drawn on established borrowing/funding lines?
☐ Yes ☐ No
- d. Has the institution required any emergency shipments of cash?
☐ Yes ☐ No
- e. The institution has experienced the following Y2K-related balance sheet growth or cash flow liquidity changes (check all that apply):

- ☐ An increase in deposits
 - ☐ Requests for credit line increases
 - ☐ Unusual draws against credit lines
 - ☐ Emergency lines for new or existing customers
 - ☐ No substantial balance sheet or cash flow/liquidity changes
- f. The institution is experiencing the following regulatory capital ratio pressure due to Y2K (check all that apply):
- ☐ The ratios are anticipated to fall below well capitalized levels
 - ☐ The ratios are anticipated to fall below adequately capitalized levels
 - ☐ The capital ratio pressure is affecting the institution's ability or willingness to serve its customers
 - ☐ The institution is not experiencing any regulatory ratio pressures
- g. Is the business resumption contingency plan effectively mitigating the funding risks?
- ☐ Yes ☐ No ☐ Uncertain ☐ N/A - BRCP not activated
- h. Is the business resumption contingency plan effectively mitigating the customer behavior problems?
- ☐ Yes ☐ No ☐ Uncertain ☐ N/A - BRCP not activated
5. **For Large Bank companies and the companies listed below* ('National and Regional Key Players') only.**
The institution is experiencing difficulty in the following strategic markets (check all that apply):
- ☐ Commercial paper ☐ Corporate equities and securities ☐ Derivatives
 - ☐ Eurodollar ☐ Foreign Exchange ☐ Government securities
 - ☐ Wholesale payments

***TBD**

Comment. Please briefly explain any problems noted above.
